

18. NATIONAL TRANSIT DATABASE

BASIC REQUIREMENT

Grantees that receive Section 5307 and 5311 grant funds must collect, record, and report financial and non-financial data in accordance with the Uniform System of Accounts (USOA) and the *National Transit Database (NTD) Reporting Manual* as required by 49 USC 5335(a).

AREAS TO BE EXAMINED

1. ***Collection, Recording, and Reporting of Data***
2. ***Passenger Mile Data Collection***
3. ***Safety and Security Data Reporting***

REFERENCES

1. [49 USC Chapter 53](#), Federal Transit Laws
2. [49 CFR Part 630](#), "Uniform System of Accounts and Records Reporting System"
3. [National Transit Database Reporting Manual](#) (www.ntdprogram.gov)
4. [Federal Register: October 5, 2010 \(Volume 75, No. 192, pp. 61553-61556\)](#)
"FTA National Transit Database: Amendments to the Urbanized Area Annual Reporting Manual and to the Safety and Security Reporting Manual"
5. [FTA Circulars 2710.1A and 2710.2A](#)

QUESTIONS FOR THE REVIEW

1. *Did the grantee submit its NTD report for each of the past three years? If not, did the grantee receive a reporting waiver from submitting an annual NTD report or a waiver because it operates nine or fewer vehicles?*

EXPLANATION

All grantees that receive Section 5307 and 5311 grant funds are required to file annual reports using the NTD Internet Reporting System. This requirement also applies to recipients of Congestion Mitigation and Air Quality Improvement Program (CMAQ) and Surface Transportation Program (STP) funds that are "flexed" into the 5307 and 5311 programs. Section 5307 grantees are also required to file monthly reports on transit ridership and operations and safety and security incidents. The requirement to report continues as long as the grantee benefits from the grant funds, i.e., for the minimum useful life of the FTA-funded fixed asset, or indefinitely in the case of facilities.

A grantee that operates no more than nine vehicles in peak service at any time during the year may request a waiver from filing a complete NTD report. This waiver does not apply to fixed guideway service. The grantee must base its peak service requirements on all fleets and annual maximum service levels. This waiver exempts the grantee from filing the monthly reports. The grantee must still file an annual report containing system identification information and a revenue vehicle inventory.

In certain circumstances, the grantee may request, and FTA can grant, a waiver from either some or all of the NTD reporting requirements.

All reporting waivers must be requested and approved by FTA for every reporting year. FTA does not grant permanent or multi-year waivers from reporting.

REFERENCE

49 USC 5335 (a)
49 CFR Part 630
[NTD Reporting Manual](#)

SOURCES OF INFORMATION

The reviewer will request a copy of the NTD report for the most recent year. Information on reporting compliance may also be obtained from the NTD Program office at FTA Headquarters. If applicable, the grantee should provide copies of waivers.

DETERMINATION

The grantee is deficient if it does not have a waiver and has not filed reports.

SUGGESTED CORRECTIVE ACTION

The grantee will be directed to submit a report for the current fiscal year by the required due date and to notify the FTA regional office when the submission is made. The due date is tied to the grantee's fiscal year. Urban module reports for the 2010 report year are due as follows:

Fiscal Year	NTD Report
<u>End Date (Between)</u>	<u>Due Date</u>
January 1 and June 30	October 29
July 1 and September 30	January 31
October 1 and December 30	April 29

Rural module reports for the 2010 report year are due as follows:

Fiscal Year	NTD Report
<u>End Date (Between)</u>	<u>Due Date</u>
January 1 and June 30	November 30
July 1 and September 30	January 29
October 1 and December 30	April 30

If applicable, the grantee will be directed to apply for a waiver annually.

2. *Has the grantee provided a complete report to NTD of all transit operations?*

EXPLANATION

Grantees must report on all of their own directly operated service, contracted transit operations, and transit capital investments, even those not supported with FTA funds, except for ineligible activities such as charter, school bus, sightseeing, and intercity transportation. If a grantee contracts another public entity, the service should be reported by the party that physically operates the service or is the responsible contracting party for the operations contract. Data for subrecipients should not be included in the grantees own NTD report, other than by the B-70 Subrecipient Identification Form (new for 2010). Recipients of Section 5307 that also receive 5311 funds from a state should report all activities, including rural operations, in the direct report to NTD and should not be included in the Rural NTD Report made by its state. However, 5307 grantees that receive a nine or fewer vehicle waiver and also receive 5311 funds from a state should report on all activities, including urban operations, to the state for reporting to the Rural NTD. A basic principle of NTD reports is that

the reported financial information should reflect the full cost of providing the reported service information.

REFERENCE

49 USC 5335 (a)
49 CFR Part 630
[NTD Reporting Manual](#)

SOURCES OF INFORMATION

The grantee's financial statements will be compared to the NTD F-40 expenses report to identify differences in operating expenses. The reviewer will examine the NTD B-30 report for the list of contractors and discuss this with the grantee.

DETERMINATION

The grantee is deficient if it does not report on its complete operations. It is deficient if it does not report on operations that it provides on behalf of another public transit operator, or if it reports on transit operations that are physically operated by another public entity. It is deficient if it does not report its rural operations directly to NTD. It is deficient if it is a Section 5311 subrecipient, has received a nine or fewer vehicles waiver, and does not include its urban service in its reports to the state.

SUGGESTED CORRECTIVE ACTION

The grantee will be directed to contact the NTD program offices to begin providing a complete NTD report, and to work out an arrangement to ensure time-series continuity in the data reported to the Monthly Module. The grantee will be directed to report to the FTA regional office on the specifics of the arrangement when settled.

3. *Has the grantee correctly reported operating expenses for ADA complementary paratransit?*

EXPLANATION

Grantees must report operating expenses for demand response transportation and the total operating expenses for ADA complementary paratransit. The expenses associated with ADA complementary paratransit service should not include expenses for service to persons not eligible for ADA complementary paratransit service (e.g., demand response service for elderly persons) or for service provided to ADA eligible individuals beyond that required by the ADA (e.g., service beyond the required service area, same-day service). The total expenses for ADA complementary paratransit may be estimated.

REFERENCE

[NTD Reporting Manual](#)

SOURCES OF INFORMATION

If the grantee provides demand response service to persons not eligible for ADA complementary paratransit service, the reviewer will examine total modal expenses and the ADA related operating expenses reported on NTD F-30 Operating Expenses and NTD F-40 Operating Expenses Summary to ensure that ADA complementary paratransit service expenses are less than demand response service expenses.

DETERMINATION

The grantee is deficient if it reports general public demand response operating expenses as ADA related expenses.

SUGGESTED CORRECTIVE ACTION

The grantee will be directed to submit to the FTA regional office procedures for correctly reporting ADA expense information in future report years. Provide the FTA regional office with a copy of the next F-30 Operating Expenses report for demand response transportation after it is submitted to NTD.

4. *Does the grantee have any Section 5307 subrecipients? If yes, list the name and NTD ID of the subrecipients, which should be reported on the B-70 Subrecipient Identification Form (new for 2010). Do the subrecipients report required data using their own NTD ID?*

EXPLANATION

49 U.S.C. 5335 requires recipients or beneficiaries of Section 5307 funds to report to NTD. Section 5307 grantees are responsible for ensuring that any subrecipients (beneficiaries) of their Section 5307 grants report to NTD. Subrecipients include contractors and lessees who are not reimbursed for the full cost of the service by the grantee. A Section 5307 grantee does not need to ensure that subrecipients of other programs, such as Section 5316 or 5317, report to NTD but may have these subrecipients report voluntarily. The grantee may ensure that each subrecipient has its own NTD ID, or it may request a consolidated NTD ID for multiple subrecipients.

REFERENCE

[NTD Reporting Manual](#)

SOURCES OF INFORMATION

The reviewer will obtain from the grantee a list of Section 5307 subrecipients, contractors, and lessees that report directly to the NTD and discuss during the site visit.

DETERMINATION

The grantee is deficient if subrecipients do not have a waiver and have not submitted complete NTD reports.

SUGGESTED CORRECTIVE ACTION

The grantee will be directed to work with the subrecipient(s), and FTA to submit the required reports. The grantee may set up members of their own staff as points-of-contact for the NTD IDs for their subrecipients in order to retain oversight of NTD reporting. Submit to the FTA regional office a copy of the completed NTD report for the subrecipient(s).

5. *What is the system for collecting passenger mile information? If the grantee uses automatic passenger counters (APCs), does it have an agreement with NTD? Does it validate the counts throughout the year?*

EXPLANATION

Unless the grantee has a waiver, it must report passenger mile data to NTD. A grantee has three options for reporting these data:

- A 100 percent count of passenger mile data. This method should be used whenever it is available.
- A sample of average passenger trip lengths multiplied by the 100 percent count of unlinked passenger trips.
- A sample of passenger miles.

If a 100 percent count of passenger miles is used, the grantee should have documented procedures for any incidental adjustments made to the data for occasional "missed trips" or other minor errors in the records.

If the grantee uses sampling, the grantee should have documented procedures for ensuring that the sample is randomly selected from all routes and service runs, from all days of the year, for each mode operated.

If the grantee uses APCs for any of the three methods, it must have an agreement with NTD and should have a documented system to validate the data throughout the year in accordance with the procedures in the agreement. If APCs are used for sampling data, the grantee should have written procedures for ensuring that APCs are used on all routes, service runs, and days of the year to ensure a random sample.

REFERENCE

49 USC 5335 (a)
49 CFR Part 630
[NTD Reporting Manual](#)

SOURCES OF INFORMATION

The grantee will be asked for records used to report passenger mile information to NTD for the most recent report year for each of the modes it operated.

If a 100 percent count of passenger miles is used, the reviewer will ensure that the records reflect 100 percent of the transit service and documented procedures exist for any incidental adjustments made to the data for occasional "missed trips" or other minor errors in the records.

If the grantee uses sampling, the reviewer will request data from the most recent sampling year (small systems are only required to sample once every three years). The reviewer will ensure that the grantee has documented procedures in place to ensure that the sample is randomly selected from all routes and service runs, from all days of the year, for each mode operated.

If the grantee uses APCs to collect data for either a 100 percent count or for sampling, the reviewer will ensure that the grantee has a written confirmation from FTA and a documented system in place to ensure that the data are periodically validated throughout the year. If APCs are used for sampling data, the reviewer will ensure that the grantee has documented procedures for ensuring that the APCs are used on all routes, service runs, and days of the year to ensure a random sample.

DETERMINATION

The grantee is deficient if it uses a 100 percent count of passenger miles and does not have documented procedures for making incidental adjustments for missed trips or other minor errors in records. The grantee is deficient if it does not have documented procedures for ensuring the sample is randomly selected from all routes and service runs, from all days of the year, for each mode operated. The grantee is deficient if it uses APCs without an agreement with NTD, does not validate the data in accordance with the agreement, or does not have documented procedures for ensuring that the APCs are used on all routes, service runs, and days of the year to ensure a random sample.

SUGGESTED CORRECTIVE ACTION

The grantee will be directed to work with the NTD program offices to develop procedures for making incidental adjustments for missed trips or other minor errors in records. The grantee will be directed to work with the NTD program offices to develop procedures for ensuring the sample is randomly selected from all routes and service runs, from all days of the year, for each mode operated. The grantee will be directed to enter into an agreement with NTD concerning the use of APCs for collecting passenger mile information and to submit a copy of the agreement to the FTA regional office. The grantee will be directed to work with the

NTD program offices to develop procedures for validating APC passenger mile data in accordance with the agreement. The grantee will be directed to work with the NTD program offices to develop procedures for ensuring that APCs are used on all routes, service runs, and days of the year to ensure a random sample.

6. *Has the grantee submitted transit safety and security data in NTD for the past year timely?*

EXPLANATION

All Section 5307 grantees, unless operating nine or fewer vehicles and granted a reporting waiver, are required to provide information by mode and type of service in the Safety and Security Module of NTD. Commuter rail operators only report security incidents, as they report safety incidents to the Federal Railroad Administration (FRA).

NTD requires reporting of each major safety and security incident using the Reportable Incident Report form (S&S-40) within thirty days of the incident. A major incident is defined as an event involving a transit vehicle or transit-controlled property, involving one or more of the following:

- A fatality
- Injuries requiring immediate medical attention away from the scene (a rape is always considered to be such an injury, even if treatment is refused)
- Property damage equal to or exceeding \$25,000
- An evacuation due to life safety reasons
- A main-line derailment

NTD requires monthly summary reports of non-major incident safety data using the Safety and Security Monthly Summary Report form (S&S-50). As of October 5, 2010, NTD suspended the reporting of

personal security data on the S&S-50. Non-major safety incidents include any incident not reported as a major incident and meeting one or more of the following criteria:

- Injuries requiring immediate medical attention away from the scene resulting from incidents involving only one person (e.g., a slip, fall, or electric shock)
- A fire requiring suppression, but not meeting the major incident threshold

REFERENCE

[49 CFR 630](#)

[Federal Register: October 5, 2010 \(Volume 75, No. 192, pp. 61553-61556\)](#) "FTA National Transit Database: Amendments to the Urbanized Area Annual Reporting Manual and to the Safety and Security Reporting Manual"

[TSA/FTA Action Item No. 11](#)

SOURCES OF INFORMATION

The grantee will be asked to provide a summary of its major incidents for the past year in order to verify that this information is reported to NTD as required.

Three months of non-major incident (safety) data will be examined to ensure that the grantee is reporting information as required.

DETERMINATION

The grantee is deficient in the NTD requirements if it has neither submitted major incident data for the past year nor submitted information for the current year.

The grantee is deficient in the NTD requirements if it has not submitted non-major incident data.

SUGGESTED CORRECTIVE ACTION

The grantee will be directed to contact the NTD program offices to begin providing safety and security data.